

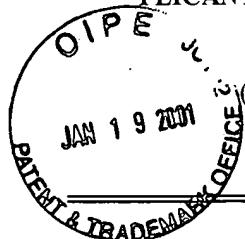
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FORM PTO-1449 (Modified)

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**LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT(S) INFORMATION DISCLOSURE STATEMENT**

(Use several sheets if necessary)

ATTY. DOCKET NO.  
ICOR-002 CIPSERIAL NO.  
09/692,029APPLICANT  
Handa, et al.FILING DATE  
October 19, 2000GROUP ART UNIT  
Not Yet Assigned**U.S. PATENT DOCUMENTS**

EXAM'R INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
ML	A1	3,573,747	4/6/71	Adams, et al.			
MM	A2	4,674,044	6/16/87	Kalmus, et al.			
MM	A3	4,942,616	7/17/90	Linstroth, et al.			
MM	A4	4,980,826	12/25/90	Wagner			
MM	A5	5,038,284	8/6/91	Kramer			
MM	A6	5,077,665	12/31/91	Silverman, et al.			
MM	A7	5,101,353	3/31/92	Lupien, et al.			
MM	A8	5,136,501	8/4/92	Silverman			
MM	A9	5,375,055	12/20/94	Togher, et al.			
MM	A10	5,724,524	3/3/98	Hunt, et al.			
MM	A11	5,774,880	6/30/98	Ginsberg			
MM	A12	5,802,499	9/1/98	Sampson, et al.			
MM	A13	5,809,483	9/15/98	Broka, et al.			
MM	A14	5,857,176	1/5/99	Ginsberg			
MM	A15	5,873,071	2/16/99	Ferrstenberg, et al.			
MM	A16	5,905,974	5/18/99	Fraser, et al.			
MM	A17	5,915,209	6/22/99	Lawrence			
MM	A18	5,924,082	7/13/99	Silverman, et al.			

**FOREIGN PATENT DOCUMENTS**

	REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
							YES	NO
MM	B1	0512702 A2	11/11/92	Europe				
MM	B2	WO 99/19821	4/22/99	WIPO				
MM	B3	0411748 A2	2/6/91	Europe				

**OTHER DOCUMENTS (Include Author, Title, Date, Pertinent Pages, etc.)**


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MR	A19	5,924,083	7/13/99	Silverman, et al.			
MR	A20	5,963,923	10/5/99	Garber			
MR	A21	5,987,419	11/16/99	Hachino, et al.			
MR	A22	6,012,046	1/4/00	Lupien, et al.			
MR	A23	6,014,627	1/11/00	Togher, et al.			
MR	A24	6,014,643	1/11/00	Minton			
MR	A25	6,016,483	1/18/00	Rickard, et al.			
MR	A26	6,026,383	2/15/00	Ausubel			
MR	A27	6,058,379	5/2/00	Odom, et al.			

**FOREIGN PATENT DOCUMENTS**

	REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
							YES	NO
MR	B4	0399850 B1	12/13/95	Europe				
MR	B5	0407026 B1	11/22/95	Europe				

**OTHER DOCUMENTS (Include Author, Title, Date, Pertinent Pages, etc.)**

MR	C1	Schmerken, Ivy, <i>Banks Eye Forex Matching Systems</i> , Wall Street Computer Review, Vol. 9, No.2, pp. 45-46 and 49-51, November 1991.
MR	C2	Wilson, John F., <i>On-Line International Cash Management</i> , Annual ACM Conference, 1983.
MR	C3	Burman, Michael, <i>Aspects of a High-Volume Production Online Banking System</i> , IEEE Compcon, Spring of 1985.
MR	C4	Sammer, Harald W., <i>Online Stock Trading Systems: Study of an Application</i> , IEEE Compcon, Spring of 1987.
MR	C5	Clemons, E.K., et al., <i>Merrill Lynch Cash Management Account Financial Service: A Case Study in Strategic Information Systems</i> , 21 <sup>st</sup> Annual Hawaii International Conference on Systems Sciences, Vol. 4, 1988.

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**OTHER DOCUMENTS (Include Author, Title, Date, Pertinent Pages, etc.)**

<i>M</i>	C6	Finebaum, Murray L., <i>Information Systems in the Securities Industry</i> , 21 <sup>st</sup> Annual Hawaii International Conference on System Sciences, Vol. 4, 1988.
<i>M</i>	C7	Sager, M.T., <i>Competitive Alliances With Information Technology - The Australian Retail Banking Experience</i> , 22 <sup>nd</sup> Annual Hawaii International Conference on System Sciences, Vol. 4, 1989.
<i>M</i>	C8	Gutner, Tammi, <i>Fine If You're Big</i> , The Banker, October, 1988.
<i>M</i>	C9	Arend, Mark, <i>Swift Speeds Up As Broker/Dealers Join</i> , Wall Street Computer Review, January, 1989.
<i>M</i>	C10	Essinger, James, <i>ISE's 'SAEF' Debuts to Make the Market Sound</i> , Wall Street Computer Review, May, 1989.
<i>M</i>	C11	Freund, William C., <i>Electronic Trading and Linkages in International Equity Markets</i> , Financial Analysis Journal, May-June, 1989.
<i>M</i>	C12	Schmerken, Ivy, <i>High-Tech Banks Set to Challenge Wall Street</i> , Wall Street Computer Review, July, 1989.
<i>M</i>	C13	Arend, Mark, <i>Banks Lure Investors With High-Tech Convenience</i> , Wall Street Computer Review, December, 1989.
<i>M</i>	C14	Arend, Mark, <i>Where Wall Street's Tending In Trading Systems Design</i> , Wall Street Computer, June, 1990.
<i>M</i>	C15	Brennan, P.J., <i>OTC Trading Systems Lead In Race to Automate</i> , Wall Street Computer Review, November, 1990.
<i>M</i>	C16	Cody, B.J., <i>Reducing the Costs and Risks of Trading Foreign Exchange</i> , Wall Street Computer Review, November, 1990.
<i>M</i>	C17	Goodman, Ann, <i>The Monep: Mixing Men and Machines for Market Might</i> , Wall Street Computer Review, August, 1991.
<i>M</i>	C18	Heyman, D.P., <i>A Performance Model of the Credit Manager Algorithm</i> , Computer Networks and ISDN Systems, March, 1992.
<i>M</i>	C19	<i>Method For Collection of Accounting Data</i> , IBM Technical Disclosure Bulletin, 1986.
<i>M</i>	C20	Banks Look to Build FX Order-Matching System Quotron Eyed as Vendor, Minex as Co-Sponsor?, FX Week, May 17, 1991.
<i>M</i>	C21	<i>TST Interviews Evan Schulman</i> , Automated Trading Pioneer, Trading Systems Technology, July 15, 1991.
<i>M</i>	C22	Schmerken, Ivy, <i>Staying in the Middle:...Brokers Are Fighting to Keep Their Role in the Market; Includes Related Article on Crossing Networks</i> , Wall Street Computer Review, December, 1991.

EXAMINER

*Nga Nguyen*

DATE CONSIDERED

3/17/04

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	<b>APPLICANT</b> Handa, et al.	
	<b>FILING DATE</b> October 19, 2000	<b>GROUP ART UNIT</b> Not Yet Assigned

**OTHER DOCUMENTS** (*Include Author, Title, Date, Pertinent Pages, etc.*)

EXAMINER Rigal Guyon DATE CONSIDERED 3/11/04

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